

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

DECLARATION

As the below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **PEPTIDE ANALOGS AND MIMETICS SUITABLE FOR IN VIVO USE IN THE TREATMENT OF DISEASES ASSOCIATED WITH ABNORMAL PROTEIN FOLDING INTO AMYLOID, AMYLOID-LIKE DEPOSITS OF BETA-SHEET RICH PATHOLOGICAL PRECURSOR THEREOF**, U.S. Serial No. 09/706,540 filed on November 4, 2000.

I hereby state that I have reviewed and understand the contents of the above identified specifications, including the claims, as amended by an amendment, if any, specifically referred to in this oath or declaration.

I acknowledge the duty to disclose all information known to me which is material to patentability as defined in Title 37, Code of Federal Regulations, 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

None.

I hereby claim the benefit under Title 35, United States Code, 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

I hereby claim priority of United States Provisional Application Serial No. 60/163,911 filed on November 5, 1999.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

We hereby appoint as our attorneys or agents the registered persons identified under

Customer No. 26345

for the law firm of Gibbons, Del Deo, Dolan, Griffinger & Vecchione, said attorneys or agents with full power of substitution and revocation to prosecute this application and transact all business in the Patent and Trademark Office connected herewith.

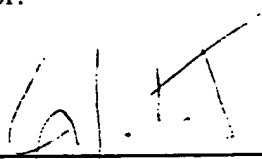
Please address all correspondence regarding this application to **Customer No. 26345**.

**Intellectual Property Docket Administrator
Gibbons, Del Deo, Dolan, Griffinger & Vecchione
One Riverfront Plaza, Newark, New Jersey 07105-5497**

Telephone calls should be made to **Diane L. Ferrone at Gibbons, Del Deo, Dolan, Griffinger & Vecchione** at:

Phone No. : 973-596-4879
Fax No. : 973-639-6337

Full name of sole inventor:

Inventor's Signature: 

Claudio Soto-Jara

Date: 12-6-2000

Residence: 1287 Laconnex, Geneva, Switzerland

Citizenship: Citizen of Chile

Post Office Address: 37 Chemin des Meandres
1287 Laconnex, Geneva
Switzerland

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): SOTO JARA.

EXAMINER : TBA

SERIAL NO. :09/706,540

ART UNIT :TBA

FILED : November 4, 2000

Commissioner for Patents
Washington, DC 20231

POWER OF ATTORNEY

I hereby appoint as attorneys or agents on behalf of **Axonyx, Inc.** the registered persons identified under

Customer No. 26345

for the law firm of Gibbons, Del Deo, Dolan, Griffinger & Vecchione, said attorneys or agents with full power of substitution and revocation to prosecute this application and transact all business in the Patent and Trademark Office connected herewith.

Please address all correspondence regarding this application to **Customer No. 26345**.

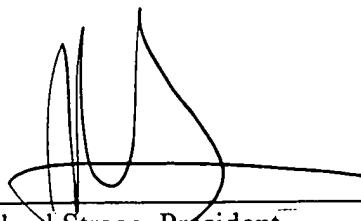
Intellectual Property Docket Administrator
Gibbons, Del Deo, Dolan, Griffinger & Vecchione
One Riverfront Plaza, Newark, New Jersey 07105-5497

Telephone calls should be made to **Diane L. Ferrone** at **Gibbons, Del Deo, Dolan, Griffinger & Vecchione** at:

Phone No.: 973-596-4879

Fax No.: 973-639-6337

Signature:



Michael Strage, President
Axonyx, Inc.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: SOTO JARA, C.
Application No./Patent No.: 09/706,540 Filed/Issue Date: Nov. 4, 2000
Entitled: PEPTIDE ANALOGS AND MIMETICS SUITABLE FOR IN VIVO...
AXONYX, Inc., a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 016873 Frame 0300, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Claudio Soto-Jara To: Axonyx Inc.
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
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3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

[] Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Date

Michael Strage
Typed or printed name
[Signature]
Signature
President, Axonyx, Inc.
Title

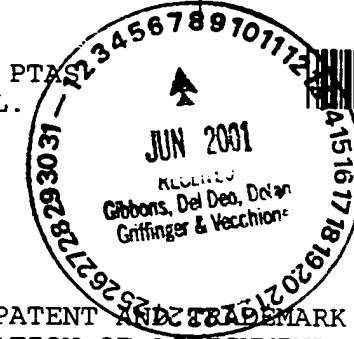


UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

JUNE 01, 2001

GIBBONS, DEL DEO, DOLAN, ET AL.
DIANE L. FERRONE
1 RIVERFRONT PLAZA
NEWARK, NJ 07102



101653098A

UNITED STATES PATENT AND TRADEMARK OFFICE
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THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/12/2001

REEL/FRAME: 011619/0035
NUMBER OF PAGES: 6

BRIEF: CORRECTIVE ASSIGNMENT TO CORRECT ASSIGNEE'S ADDRESS AND TO ADD SERIAL NUMBER 09/706,540 PREVIOUSLY RECORDED ON REEL 010373, FRAME 0300.

ASSIGNOR:
SOTO-JARA, CLAUDIO

DOC DATE: 02/26/2001

ASSIGNEE:
AXONYX, INC.
825 3RD AVENUE, #40
NEW YORK, NEW YORK 10022

SERIAL NUMBER: 09706540
PATENT NUMBER:

FILING DATE: 11/04/2000
ISSUE DATE:

TARA WASHINGTON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

6.13.0

03-29-2001



101653098

3-12-01

**RECORDATION FORM COVER SHEET
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TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

☒ New

☐ Resubmission (Non-Recordation)
Document ID#

☐ Correction of PTO Error
Reel # Frame #

☐ Corrective Document
Reel # Frame #

Conveyance Type

☒ Assignment ☐ Security Agreement

☐ License ☐ Change of Name

☐ Merger ☐ Other

U.S. Government
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☐ Departmental File ☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Execution Date
Month Day Year
 2/26/2001

Name (line 1) Claudio Soto-Jara

Name (line 2)

Second Party

Name (line 1)

Name (line 2)

Execution Date
Month Day Year

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) AXONYX, Inc.

Name (line 2)

Address (line 1) 825 3rd Avenue #40

Address (line 2)

Address (line 3) New York

New York

10022

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

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Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

Corr spondent Name and Address

Area C de and Telephone Number 973-596-4500

Name Diane L. Ferrone

Address (line 1) Gibbons, Del Deo, Dolan, Griffinger & Vecchione

Address (line 2) 1 Riverfront Plaza

Address (line 3)

Address (line 4) Newark, New Jersey 07102

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

1

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

09/706540

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number

only if a U.S. Application Number has not been assigned.

PCT

PCT

PCT

PCT

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Number of Properties

Enter the total number of properties involved.

#

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Enclosed

☒

Deposit Account

☐

Deposit Account Number:

03-3839

Authorization to charge additional fees:

Yes

☒

No

☐

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Diane L. Ferrone, Reg. 36,135

Name of Person Signing

Signature

Date

3/9/2001

11-16-1999



101201707

To the Honorable Commissioner of Patents and Trademarks: Please receive ...

original documents or copy thereof.

1. Name of the conveying party (ies):

Claudio Soto-Jara

Additional name(s) of conveying parties attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: **AXONYX, Inc.**

Internal Address:

Street Address: **750 Lexington Avenue**City: **New York** State: **NY** Zip: **10022**

3. Nature of Conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____
Execution Date: **October 15, 1999**Additional name(s) attached? ☐ Yes ☒ No

4. Application or Registration Number(s)

If this application is being filed with a new application, the execution date of the new application is October 15, 1999.

A. Patent Application Numbers

B. Patent Registration Numbers

Additional Numbers attached? ☐ Yes ☒ No

5. Name and Address of party to whom correspondence concerning document should be mailed:

Name: **Intellectual Property Docket Administrator**Firm: **Gibbons, Del Deo, Dolan, Griffinger & Vecchione**Address: **One Riverfront Plaza**City: **Newark** State: **N.J.** Zip: **07102-5497**

6. Total Number of applications and registrations involved:

1

7. Total Fee: **\$40.00**☒ Enclosed☐ Authorized to be charged to Deposit Account

8. Deposit Account Number:

(attach duplicate copy of this page if paying by deposit account)

9. Statement and Signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document

Name: Charlotte H. CopperthiteSignature: Charlotte H. CopperthiteDate: November 5, 1999

11/12/1999 SARAYA 00000073 60163911

02 FC:581

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#223879 v1
009621-34567
 Jc 841 U.S. PRO
 60/163911
 11/16/99

ASSIGNMENT AND AGREEMENT

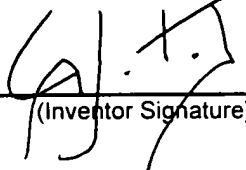
For value received, I, **Claudio Soto-Jara**, residing at 37 Chemin des Meandres, 1287 Laconnex, Geneva, Switzerland, hereby sell, assign and transfer to **Axonyx, Inc.** a corporation of the State of New York, having an office at 825 3rd Avenue #40, New York, New York 10022-7519, U.S.A., and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions related to **PEPTIDE ANALOGS AND MIMETICS SUITABLE FOR IN VIVO USE IN THE TREATMENT OF DISEASES ASSOCIATED WITH ABNORMAL PROTEIN FOLDING INTO AMYLOID, AMYLOID-LIKE DEPOSITS OR BETA-SHEET RICH PATHOLOGICAL PRECURSOR THEREOF**, U.S. Serial No. 09/706,540 filed on November 4, 2000 described in an application for Letters Patent of the United States, executed by me, and all of the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said invention; and I also concurrently hereby sell, assign and transfer to **Axonyx, Inc.**, the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

I authorize **Axonyx, Inc.** to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from me, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

I hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of **Axonyx, Inc.** to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

I request that any and all patents for said inventions be issued to **Axonyx, Inc.** in the United States and to **Axonyx, Inc.** in all countries foreign to the United States, or to such nominees as they may designate.

I agree that, when requested, I shall, without charge to **Axonyx, Inc.** but at its expense, sign all papers, take all rightful oaths, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents or other forms of protection.



(Inventor Signature)

Claudio Soto-Jara

(Typed or printed name)



(Witness Signature)

Gabriela Sabonio

(Typed or printed name)

February 26, 2001

(Date)

ASSIGNMENT AND AGREEMENT

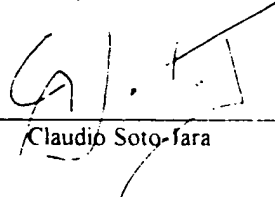
For value received, I, Claudio Soto-Jara, residing at 37 Chemin des Meandres, 1287 Laconnex, Geneva, Switzerland, hereby acknowledge that effective on the 30th day of March, 1999 did sell, assign and transfer to AXONYX, Inc., a corporation of the State of New York, having an office at 750 Lexington Avenue, Suite 1400, New York, New York 10022 U.S.A., and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions conceived by me during my employment with AXONYX, Inc. and related to Peptide Analogs and Mimetics Suitable for In Vivo Use in the Treatment of Diseases Associated with Abnormal Protein Folding into Amyloid, Amyloid-Like Deposits or β -Sheet Rich Pathological Precursor Thereof described in an application for Letters Patent of the United States, executed by me, and all of the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said invention; and I also concurrently hereby sell, assign and transfer to AXONYX, Inc., the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

I authorize AXONYX, Inc. to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from me, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

I hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of AXONYX, Inc. to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

I request that any and all patents for said inventions be issued to AXONYX, Inc. in all countries foreign to the United States, or to such nominees as they may designate.

I agree that, when requested, I shall, without charge to AXONYX, Inc. but at its expense, sign all papers, take all rightful oaths, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents or other forms of protection.



Claudio Soto-Jara



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FEBRUARY 14, 2000

PTAS

GIBBONS, DEL DEO ET AL
CHARLOTTE H. COPPERTHITE
ONE RIVERFRONT PLAZA
NEWARK, N.J. 07102-5497



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RECORDATION DATE: 11/08/1999

REEL/FRAME: 010373/0300
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

SOTO-JARA, CLAUDIO

DOC DATE: 10/15/1999

ASSIGNEE:

AXONYX, INC.
750 LEXINGTON AVENUE
NEW YORK, NEW YORK 10022

SERIAL NUMBER: 60163911
PATENT NUMBER:

FILING DATE: 11/05/1999
ISSUE DATE:

STEVEN POST, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS